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PATENT

1ce872 U.S. PTO  
09/945105

08/31/01

CERTIFICATE OF MAILING

I hereby certify that on August 31, 2001 this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, DC 20231.

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*Patricia Meade*  
PATRICIA MEADE

Applicant: Kerry Adam, et al.

Title: ELECTRONIC TRADING  
PLATFORM FOR  
AGRICULTURAL  
COMMODITIES

Atty Docket No.: 12235-03/JWE

UTILITY PATENT APPLICATION TRANSMITTAL

Post Office Box 7680

Assistant Commissioner for Patents  
Washington, D.C. 20231

Newport Beach, CA 92660-6441  
August 31, 2001

1. ☒ FEE TRANSMITTAL FORM (Submit an original, and a duplicate for fee processing).

2. ☒ Applicant claims small entity status under 37 CFR §1.27. A small entity declaration is enclosed.

3. IF A CONTINUING APPLICATION

This application is a [divisional/cont. or continuation-in-part] of patent application No. \_\_\_\_\_.  
A copy of this form is enclosed for filing in the prior application.

☒ This application claims priority pursuant to 35 U.S.C. §119(e) and 37 CFR §1.78(a)(4), to provisional Application No. 60/229,900 filed September 1, 2000 (Docket No. 12235-02/JWE).

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under item 4c below, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

4. APPLICATION COMPRISED OF

(a) Specification

45 Specification, claims and Abstract (total pages)

(b) Drawings

7 Sheets of drawing(s) (FIGS. 1 to 9)

(c) Declaration and Power of Attorney

☐ Newly executed  
☐ Copy from a prior application (37 CFR 1.63(d))  
☐ (for continuation and divisional)  
☒ An **unsigned** declaration

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Only for new nonprovisional applications under 37 CFR 1.53(b))**

Docket No.: **12235-03/JWE**

5. ☐ **Microfiche Computer Program** (*Appendix*)

6. ☐ **Nucleotide and/or Amino Acid Sequence Submission** (*if applicable, all necessary*)

- ☐ Computer Readable Copy
- ☐ Paper Copy (identical to computer copy)
- ☐ Statement verifying identity of above copies

7. **ALSO ENCLOSED ARE**

- ☐ Preliminary Amendment
- ☐ Petition for Extension of Time for the parent application and the required fee are enclosed as separate papers
- ☐ An Assignment of the invention with the Recordation Cover Sheet and the recordation fee are enclosed as separate papers
- ☐ 37 CFR 3.73(b) Statement (where there is an Assignee)
- ☐ This application is owned by pursuant to an Assignment recorded at Reel \_\_, Frame \_\_
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Copies of IDS Citations
- ☐ Certified copy of Priority Document(s) (*if foreign priority is claimed*)
- ☐ English Translation Document (*if applicable*)
- ☒ Return Receipt Postcard (MPEP 503) (should be specifically itemized).
- ☐ **Request and Certification** under 35 U.S.C. 122(b)(2)(B)(i) form PTO/SB/35 or its equivalent is attached.
- ☐ Other


☒ **The Commissioner is hereby authorized to treat any concurrent or future reply, requiring a petition for an extension of time under 37 CFR § 1.136 for its timely submission, as incorporating a petition for extension of time for the appropriate length of time.**

8. **CORRESPONDENCE ADDRESS**

Please address all correspondence to **STRADLING YOCCA CARLSON & RAUTH, IP Department,**  
**P.O. Box 7680, 660 Newport Center Drive, Suite 1600, Newport Beach, California 92660-6441.**

Respectfully submitted,

STRADLING YOCCA CARLSON & RAUTH

By   
John W. Eldredge  
Reg. No. 37,613  
(949) 725-4143

# FEE TRANSMITTAL UTILITY PATENT APPLICATION

**DATE: August 31, 2001**

Docket No. : 12235-03/JWE  
Inventor(s) : Kerry Adam, et al.  
Title : ELECTRONIC TRADING PLATFORM FOR AGRICULTURAL COMMODITIES

FEE CALCULATIONS					
CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
A	TOTAL CLAIMS	8 - 20 = <12>	0	0 x \$9.00	\$0.00
B	INDEPENDENT CLAIMS	3 - 3 = 0	0	0 x \$40.00	
C	SUBTOTAL	SMALL ENTITY FEE = A + B LARGE ENTITY FEE = 2 X (A + B)			\$0.00
D	BASIC FEE	SMALL ENTITY FEE = \$355.00 LARGE ENTITY FEE = \$710.00			\$355.00
E	MULTIPLE-DEPENDENT CLAIMS FEE	SMALL ENTITY FEE = \$135.00 LARGE ENTITY FEE = \$270.00			
F	TOTAL FILING FEE (ADD LINES C, D, AND E)				\$355.00
List Independent Claims: 1, 4 and 6					

## METHOD OF PAYMENT

Payment Enclosed: Check for \$\_\_\_\_\_ (including filing fee of \$\_\_\_\_\_ and \$\_\_\_\_\_ recordation fee).


The Commissioner is hereby authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the **entire pendency** of the application to Deposit Account No. 501329. Please show our docket number with any charge or credit to our Deposit Account. **A copy of this letter is enclosed.**

☒ No payment is enclosed.

☒ The Commissioner is hereby authorized to treat any concurrent or future reply, requiring a petition for an extension of time under 37 CFR § 1.136 for its timely submission, as incorporating a petition for extension of time for the appropriate length of time.

Respectfully submitted,

STRADLING YOCCA CARLSON & RAUTH

By   
John W. Eldredge  
Reg. No. 37,613